

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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2182

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

|  |                 |
|--|-----------------|
| Application Number                       | 09/996,671      |
| Filing Date                              | 11/30/2001      |
| First Named Inventor                     | Donald R. Horne |
| Group Art Unit                           | 2182            |
| Examiner Name                            | Unknown         |
| Total Number of Pages in This Submission | 24              |
| Attorney Docket Number                   | 13608ROUS02U    |

**ENCLOSURES (check all that apply)**

|   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                | <input checked="" type="checkbox"/> Assignment Papers (for an Application)              | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input checked="" type="checkbox"/> Fee Attached  | <input checked="" type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Amendment / Reply  | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                                      | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Other Enclosure(s) (please identify below):                       |
| <input type="checkbox"/> Express Abandonment Request                                    | <input type="checkbox"/> Terminal Disclaimer  | <b>RECEIVED</b><br>FEB 15 2002<br>Technology Center 2100                                   |
| <input type="checkbox"/> Information Disclosure Statement                               | <input type="checkbox"/> Request for Refund   |  |
| <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> CD, Number of CD(s) _____                                      |  |
| <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application    | Remarks   |  |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | N.B. PRIORITY DOCUMENT NOT INCLUDED IN PAGE COUNT ABOVE                                 |  |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|                         |                         |
|-------------------------|-------------------------|
| Firm or Individual name | NORTEL NETWORKS LIMITED |
| Signature               | <i>Adelwilton</i>       |
| Date                    | 02/13/2002              |

**CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 

|                       |  |      |  |
|-----------------------|--|------|--|
| Typed or printed name |  |      |  |
| Signature             |  | Date |  |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

AMOUNT OF PAYMENT

(\$) 170.00

**Complete if Known**

|                      |                 |
|----------------------|-----------------|
| Application Number   | 09/996,671      |
| Filing Date          | 11/30/2001      |
| First Named Inventor | Donald R. Horne |
| Examiner Name        | Unknown         |
| Group Art Unit       | 2182            |
| Attorney Docket No.  | 13608ROUS02U    |

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit Account Number

14-1315

Deposit Account Name

NORTEL NETWORKS LIMITED

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 101      | 740      | 201      | 370      | Utility filing fee     |          |
| 106      | 330      | 206      | 165      | Design filing fee      |          |
| 107      | 510      | 207      | 255      | Plant filing fee       |          |
| 108      | 740      | 208      | 370      | Reissue filing fee     |          |
| 114      | 160      | 214      | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$)

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** =      | X              |          |
| Multiple Dependent | -3** =       | X              |          |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 103      | 18       | 203      | 9        | Claims in excess of 20                                     |          |
| 102      | 84       | 202      | 42       | Independent claims in excess of 3                          |          |
| 104      | 280      | 204      | 140      | Multiple dependent claim, if not paid                      |          |
| 109      | 84       | 209      | 42       | ** Reissue independent claims over original patent         |          |
| 110      | 18       | 210      | 9        | ** Reissue claims in excess of 20 and over original patent |          |

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Fee Code | Large Entity (\$) | Small Entity (\$) | Fee Description | Fee Paid   |       |
|----------|-------------------|-------------------|-----------------|--|-------|
| 105      | 130               | 205               | 65              | Surcharge - late filing fee or oath  |       |
| 127      | 50                | 227               | 25              | Surcharge - late provisional filing fee or cover sheet                     |       |
| 139      | 130               | 139               | 130             | Non-English specification  |       |
| 147      | 2,520             | 147               | 2,520           | For filing a request for <i>ex parte</i> reexamination                     |       |
| 112      | 920*              | 112               | 920*            | Requesting publication of SIR prior to Examiner action                     |       |
| 113      | 1,840*            | 113               | 1,840*          | Requesting publication of SIR after Examiner action                        |       |
| 115      | 110               | 215               | 55              | Extension for reply within first month                                     |       |
| 116      | 400               | 216               | 200             | Extension for reply within second month                                    |       |
| 117      | 920               | 217               | 460             | Extension for reply within third month                                     |       |
| 118      | 1,440             | 218               | 720             | Extension for reply within fourth month                                    |       |
| 128      | 1,960             | 228               | 980             | Extension for reply within fifth month                                     |       |
| 119      | 320               | 219               | 160             | Notice of Appeal   |       |
| 120      | 320               | 220               | 160             | Filing a brief in support of an appeal                                     |       |
| 121      | 280               | 221               | 140             | Request for oral hearing   |       |
| 138      | 1,510             | 138               | 1,510           | Petition to institute a public use proceeding                              |       |
| 140      | 110               | 240               | 55              | Petition to revive - unavoidable   |       |
| 141      | 1,280             | 241               | 640             | Petition to revive - unintentional   |       |
| 142      | 1,280             | 242               | 640             | Utility issue fee (or reissue)   |       |
| 143      | 460               | 243               | 230             | Design issue fee   |       |
| 144      | 620               | 244               | 310             | Plant issue fee  |       |
| 122      | 130               | 122               | 130             | Petitions to the Commissioner  |       |
| 123      | 50                | 123               | 50              | Processing fee under 37 CFR 1.17(q)  |       |
| 126      | 180               | 126               | 180             | Submission of Information Disclosure Stmt                                  |       |
| 581      | 40                | 581               | 40              | Recording each patent assignment per property (times number of properties) | 40.00 |
| 146      | 740               | 246               | 370             | Filing a submission after final rejection (37 CFR § 1.129(a))              |       |
| 149      | 740               | 249               | 370             | For each additional invention to be examined (37 CFR § 1.129(b))           |       |
| 179      | 740               | 279               | 370             | Request for Continued Examination (RCE)                                    |       |
| 169      | 900               | 169               | 900             | Request for expedited examination of a design application                  |       |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 170.00

**RECEIVED**

FEB 15 2002

Technology Center 2100

**SUBMITTED BY**

Name (Print/Type)

Angela C. de Wilton

Registration No.  
(Attorney/Agent)

35,763

**Complete (if applicable)**

Telephone

613-768-3020

Signature

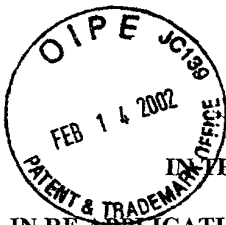
*Angela C. de Wilton*

Date

02/13/2002

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Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



DOCKET NO.:13608ROUS02U

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Donald R. HORNE

SERIAL NO: 09/996,671

ART UNIT: 2182

FILED: November 30, 2001

EXAMINER: Unknown

SUBJECT: MANAGEMENT OF LOG ARCHIVAL AND REPORTING FOR DATA  
NETWORK SECURITY SYSTEMS

RECEIVED

FEB 15 2002

Technology Center 2100

BOX MISSING PARTS  
THE ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231, U.S.A.

Sir:

RESPONSE TO NOTICE TO FILE MISSING PARTS OF NON PROVISIONAL  
APPLICATION FILED UNDER 37 CFR 1.53(b)

In response to the Notice to File Missing Parts mailed December 19, 2001  
(copy enclosed), enclosed is a Declaration and Appointment of Agent signed by the  
inventor.

Form PTO/SB/17 authorizing deduction of the prescribed fee of \$130.00, from  
Nortel's **Deposit Account No. 14-1315** is enclosed herewith.

Further, in response to the requirement to submit new formal drawings set out  
in the Notice, please replace the informal drawing sheets containing Figures 1 to 14  
presently on file with new formal drawings containing amended Figures 1 to 14  
enclosed herewith. It is believed that the amended formal drawings now correct the  
informalities as outlined in the Notice.

Applicant also takes this opportunity to submit a certified copy of Canadian  
Patent Application No. 2,327,211 filed December 1, 2000 in support of the claim to  
convention priority.


Yours very truly,

Donald R. HORNE

ACdW/jo:Encls.  
c/o NORTEL NETWORKS LIMITED  
Intellectual Property Law Group  
P.O. Box 3511, Station "C"  
Ottawa, Ontario, Canada K1Y 4H7

Phone: (613) 768-3020  
FAX: (613) 768-3017

Date: February 13, 2002

By 

Angela C. de Wilton,  
Patent Agent  
Reg'n. No. 35,763



## UNITED STATES PATENT AND TRADEMARK OFFICE


 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/996,671         | 11/30/2001          | Donald R. Horne       | 13608ROUS02U           |

CONFIRMATION NO. 4165

## FORMALITIES LETTER



\*OC000000007212867\*

 NORTEL NETWORKS LIMITED  
 Intellectual Property Law Group  
 P.O. Box 3511, Station "C"  
 Ottawa, ON K1Y 4H7  
 CANADA

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FEB 15 2002

Date Mailed: 12/19/2001

Technology Center 2100

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

03/07/2002 TVD111 00000001 141315 09996671

FILED UNDER 37 CFR 1.53(b)

01 FEB 2005 130.00 CH

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

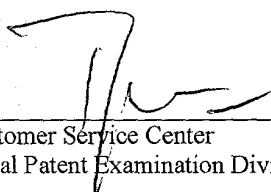
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1));
  - drawings contain excessive text. Suitable descriptive legends may be used, or may be required by the Examiner where necessary for understanding of the drawing but should contain as few words as possible ( see 37 CFR 1.84(o));

*A copy of this notice MUST be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

2025 11 13 10:00 AM